

FORM PTO-127 (Modified)  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

RU-0175

#3

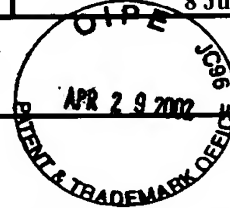
U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/009,054

INTERNATIONAL APPLICATION NO.  
PCT/US00/15783INTERNATIONAL FILING DATE  
8 June 2000PRIORITY DATE CLAIMED  
8 June 1999

TITLE OF INVENTION

COMPOSITIONS AND METHODS FOR TARGETED GENE INSERTION

APPLICANT(S) FOR DO/EO/US  
LAM, Eric

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

- 1) Response to Notification of Missing Requirements;
- 2) Copy of Notification of Missing Requirements;
- 3) Return post card.

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR	INTERNATIONAL APPLICATION NO. <b>PCT/US00/15783</b>	ATTORNEY'S DOCKET NUMBER <b>RU-0175</b>
--	--	--

24. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1040.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$890.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$740.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				<b>CALCULATIONS PTO USE ONLY</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =	0	x \$18.00	<b>\$0.00</b>	
Independent claims	- 3 =	0	x \$84.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$130.00</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				<b>\$65.00</b>	
<b>SUBTOTAL =</b>				<b>\$65.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$65.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$65.00</b>	
7/2002 HAL111 00000002 501619 100000054 254 65.00 CH				Amount to be: refunded \$ charged \$	

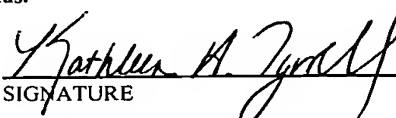
- a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 50-1619 in the amount of \$65.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1619. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Jane Massey Licata, Registration No. 32,257  
 Kathleen A. Tyrrell, Registration No. 38,350  
 Licata & Tyrrell P.C.  
 66 East Main Street  
 Marlton, New Jersey 08053

Tel: 856-810-1515  
 Fax: 856-810-1454

  
 SIGNATURE

Kathleen A. Tyrrell

NAME

38,350

REGISTRATION NUMBER

April 29, 2002

DATE

RU-0175

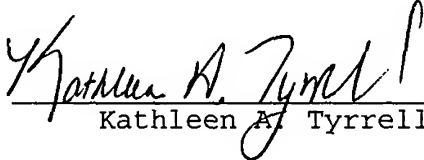
CERTIFICATE OF EXPRESS MAILING

"Express Mail" Label No. EV 104364658 US

Date of Deposit: April 29, 2002

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the "BOX SEQUENCE", U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.

- 1) Transmittal Letter (in duplicate) with authorization to charge deposit account \$65.00 for Declaration filing fee;
- 2) Response to Notice to File Missing Requirements dated February 28, 2002( in duplicate);
- 3) Copy of Notice to File Missing Requirements;
- 4) Executed Declaration and Power of Attorney;
- 5) Return Postcard.

  
Kathleen A. Tyrrell

Rec'd PCT/PTO 29 APR 2002

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: RU-0175  
Inventors: Eric Lam  
Serial No.: 10/009,054  
Filing Date: Not yet assigned  
Examiner: Not yet assigned  
Group Art Unit: Not yet assigned  
Title: Compositions and Methods for Targeted  
Gene Insertions

"Express Mail" Label No. EV104364658US  
Date of Deposit - April 29, 2002

I hereby certify that this paper is being deposited with  
the United States Postal Service "Express Mail Post Office  
to Addressee" service under 37 CFR 1.10 on the date  
indicated above and is addressed to the U.S. Patent and  
Trademark Office, Box Sequence, P.O. Box 2327  
Arlington, VA 22202

By   
Typed Name: Kathleen A. Tyrrell

Assistant Commissioner for Patents  
**BOX Sequence**  
United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

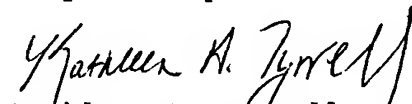
Dear Sir:

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**

In response to the "Notification of Missing Requirements"  
dated **February 28, 2002**, a response to which is due **April 28,**  
**2002**, it is respectfully pointed out that no Sequence Listing is  
required in the instant application as no nucleotide or amino  
acid sequences as defined in 37 C.F.R. 1.821 are disclosed or

claimed in the instant application. Further, indication in the Notification of Missing Requirements, a copy of which is provided herewith, that a Biochemical Sequence Listing was submitted by Applicants or the IB to the United States Patent and Trademark Office in the instant application is incorrect. Accordingly, withdrawal of the requirement for submission of an initial or substitute CRF of the Sequence Listing and a statement that the paper and CRF copy are the same is respectfully requested.

Respectfully submitted,

  
Kathleen A. Tyrrell  
Registration No. 38,350

Date: April 29, 2002

Licata & Tyrrell P.C.  
66 E. Main Street  
Marlton, New Jersey 08053

(856) 810-1515